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| U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE | | ATTORNEY'S DOCKET NUMBER <u>14114.0332U2</u> |
| TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371 | | U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR 1.5) 09/701536 |
| INTERNATIONAL APPLICATION NO. PCT/US99/12298 | INTERNATIONAL FILING DATE 3 June 1999 | PRIORITY DATE CLAIMED 4 June 1998 |
| TITLE OF INVENTION NUCLEIC ACID VACCINES FOR PREVENTION OF FLAVIVIRUS INFECTION | | |
| APPLICANT(S) FOR DO/EO/US CHANG, Gwong-Jen, J. | | |
| Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information: | | |
| <p>1. <input checked="" type="checkbox"/> This is a FIRST submission of items concerning a filing under 35 U.S.C. 371.</p> <p>2. <input type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371.</p> <p>3. <input type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).</p> <p>4. <input checked="" type="checkbox"/> A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.</p> <p>5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371 (c) (2))</p> <p>a. <input type="checkbox"/> is-transmitted-herewith-(required-only-if-not-transmitted-by-the-International-Bureau).</p> <p>b. <input type="checkbox"/> has been transmitted by the International Bureau.</p> <p>c. <input checked="" type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</p> | | |
| <p>6. <input type="checkbox"/> A translation of the International Application into English (35 U.S.C. 371(c)(2)).</p> <p>7. <input checked="" type="checkbox"/> A copy of the International Search Report (PCT/ISA/210).</p> <p>8. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))</p> <p>a. <input type="checkbox"/> are transmitted herewith (required only if not transmitted by the International Bureau).</p> <p>b. <input type="checkbox"/> have been transmitted by the International Bureau.</p> <p>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</p> <p>d. <input checked="" type="checkbox"/> have not been made and will not be made.</p> <p>9. <input type="checkbox"/> A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</p> <p>10. <input type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).</p> <p>11. <input checked="" type="checkbox"/> A copy of the International Preliminary Examination Report (PCT/IPEA/409).</p> <p>12. <input type="checkbox"/> A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).</p> | | |
| <p>Items 13 to 18 below concern document(s) or information included:</p> <p>13. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</p> <p>14. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</p> <p>15. <input type="checkbox"/> A FIRST preliminary amendment.</p> <p>A SECOND or SUBSEQUENT preliminary amendment.</p> <p>16. <input type="checkbox"/> A substitute specification.</p> <p>17. <input type="checkbox"/> A change of power of attorney and/or address letter.</p> <p>18. <input checked="" type="checkbox"/> Certificate of Mailing by Express Mail EL491586867US</p> <p>19. <input checked="" type="checkbox"/> Other items or information:</p> <p>Return Postcard</p> | | |

| EL491586867US |

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| U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR 1.5) | INTERNATIONAL APPLICATION NO. | ATTORNEY'S DOCKET NUMBER |
| 09/70153 | PCT/US99/12298 | 14114.0332U2 |

20. The following fees are submitted:.

BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)) :

| | |
|--|----------|
| <input checked="" type="checkbox"/> Search Report has been prepared by the EPO or JPO | \$840.00 |
| <input type="checkbox"/> International preliminary examination fee paid to USPTO (37 CFR 1.482) | \$670.00 |
| <input type="checkbox"/> No international preliminary examination fee paid to USPTO (37 CFR 1.482) but international search fee paid to USPTO (37 CFR 1.445(a)(2)) | \$760.00 |
| <input type="checkbox"/> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO | \$970.00 |
| <input type="checkbox"/> International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4) | \$96.00 |

CALCULATIONS PTO USE ONLY**ENTER APPROPRIATE BASIC FEE AMOUNT =**

\$860.00

Surcharge of \$130.00 for furnishing the oath or declaration later than 20 30 months from the earliest claimed priority date (37 CFR 1.492 (e)).

\$130.00

| CLAIMS | NUMBER FILED | NUMBER EXTRA | RATE | |
|--|--------------|--------------|--------------------------|----------|
| Total claims | 34 - 20 = | 14 | x \$18.00 | \$252.00 |
| Independent claims | 4 - 3 = | 1 | x \$80.00 | \$80.00 |
| Multiple Dependent Claims (check if applicable). | | | <input type="checkbox"/> | \$0.00 |

TOTAL OF ABOVE CALCULATIONS =

\$1,322.00

Reduction of 1/2 for filing by small entity, if applicable. Verified Small Entity Statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28) (check if applicable).

 \$0.00**SUBTOTAL =**

\$1,322.00

Processing fee of \$130.00 for furnishing the English translation later than 20 30 months from the earliest claimed priority date (37 CFR 1.492 (f)). + \$0.00**TOTAL NATIONAL FEE =**

\$1,322.00

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable).

 \$0.00**TOTAL FEES ENCLOSED =**

\$1,322.00

Amount to be: \$

refunded \$

 A check in the amount of \$1,322.00 to cover the above fees is enclosed. Please charge my Deposit Account No. in the amount of to cover the above fees.
A duplicate copy of this sheet is enclosed. The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment to Deposit Account No. 14-0629 A duplicate copy of this sheet is enclosed.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

Attn: Mary L. Miller, Esq.
 NEEDLE & ROSENBERG, P.C.
 127 Peachtree Street, N.E., Suite 1200
 Atlanta, GA 30303, US
 404-688-0770

Mary L. Miller
 SIGNATURE

MARY L. MILLER

NAME

39,303

REGISTRATION NUMBER

November 29, 2000
 DATE

09/701536
526 Rec'd PCT/PTO 29 NOV 2000

CERTIFICATE OF EXPRESS MAILING

I hereby certify that the U.S. National Phase Application in the name of: Gwong-Jen, J. Chang consisting of: Transmittal Letter to the United States Designated/Elected Office (DO/EO/US) Concerning a Filing Under 35 U.S.C. 371 PTO Form 1390 (2 Pages); A copy of the International Search Report; A copy of the International Preliminary Examination Report; a Check in the amount of \$1,322.00 to cover filing fees; and a return postcard for "NUCLEIC ACID VACCINES FOR PREVENTION OF FLAVIVIRUS INFECTION" are being deposited with the United States Postal Service as Express Mailing No. EL491586867US in an envelope addressed to: Assistant Commissioner for Patents, Box PCT (IPEA/EP), Washington, D.C. 20231, on this **29th** day of **NOVEMBER 2000**.



EVERARDO MCFARLANE

11-29-2000

Date